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PATENT
Attorney Docket No. CTX-024 (1545/45)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Group 2100

APPLICANT(S): Collins
SERIAL NO.: 09/762,917 GROUP NO.: 2155
FILING DATE: February 13, 2001 EXAMINER: Not Yet Assigned
TITLE: Apparatus and Method for Extracting Algorithmic Information from a Message Stream

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

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- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

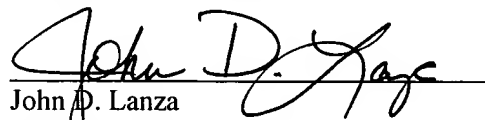
It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,



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GP/2155 #4

TRANSMITTAL
FORM

Application Serial Number	09/762,917
Filing Date	February 13, 2001
First Named Inventor	Collins
Group Art Unit	2155
Examiner Name	Not Yet Assigned
Attorney Docket No.	CTX-024
BATCH NO. (after allowance)	Not applicable
Patent No.	Not applicable
Issue Date	Not applicable

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ENCLOSURES (check all that apply)

- | | | |
|--|--|---|
| <input type="checkbox"/> Fee Transmittal Form
<input type="checkbox"/> Check Attached
<input type="checkbox"/> Copy of Fee Transmittal Form

<input type="checkbox"/> Amendment/Response
<input type="checkbox"/> Preliminary
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/declaration(s)
<input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets _____]

<input type="checkbox"/> Petition for Extension of Time

<input checked="" type="checkbox"/> Information Disclosure Statement
<input checked="" type="checkbox"/> Form PTO-1449
<input checked="" type="checkbox"/> Copies of IDS Citations: A1-A112, B1-B21, C1-C19

<input type="checkbox"/> Certified Copy of Priority Document(s)

<input type="checkbox"/> Sequence Listing submission
<input type="checkbox"/> Paper Copy/CD
<input type="checkbox"/> Computer Readable Copy
<input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)

<input type="checkbox"/> Formal Drawing(s)

<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal

<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)

<input type="checkbox"/> Terminal Disclaimer

<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application

<input type="checkbox"/> Small Entity Statement

<input type="checkbox"/> CD(s) for large table or computer program

<input type="checkbox"/> Amendment After Allowance

<input type="checkbox"/> Request for Certificate of Correction
<input type="checkbox"/> Certificate of Correction (in duplicate) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences

<input type="checkbox"/> Appeal Brief (in triplicate)

<input type="checkbox"/> Status Inquiry

<input checked="" type="checkbox"/> Return Receipt Postcard
<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8

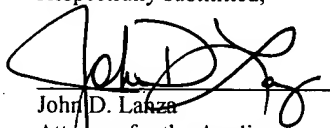
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<input type="checkbox"/> Additional Enclosure(s) (please identify below) |
|--|--|---|

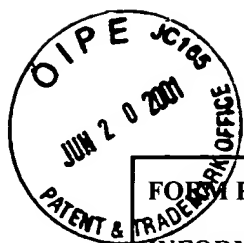
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Respectfully submitted,

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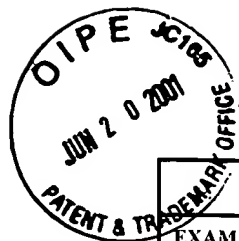
Date: June 15, 2001
Reg. No. 40,060
Tel. No.: (617) 248-7604
Fax No.: (617) 248-7100



FORM PTO - 1449 INFORMATION DISCLOSURE STATEMENT	ATTORNEY DOCKET NO.: CTX-024 APPLICANT(S): Collins SERIAL NO.: 09/762,917 FILING DATE: February 13, 2001 GROUP: 2155
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U.S. PATENT DOCUMENTS							
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	4,013,828	3/22/77	Judice	358	133	2/20/76
	A2	4,387,425	6/7/83	El-Gohary	15	16	5/19/80
	A3	4,410,916	10/18/83	Pratt et al.	358	263	7/9/81
	A4	4,463,424	7/31/84	Mattson et al.	364	300	10/21/83
	A5	4,499,499	2/12/85	Brickman et al.	358	263	12/29/82
	A6	4,562,423	12/31/85	Humblet	340	347	6/5/84
	A7	4,701,745	10/20/87	Waterworth	340	347	3/3/86
	A8	4,779,189	10/18/88	Legvold et al.	364	200	6/28/85
	A9	4,796,003	1/3/89	Bentley et al.	341	95	6/28/84
	A10	4,807,029	2/21/89	Tanaka	358	133	6/16/87
	A11	4,862,392	8/29/89	Steiner	364	522	3/7/86
	A12	4,870,662	9/26/89	Lindbergh et al.	375	122	12/1/87
	A13	4,899,149	2/6/90	Kahan	341	67	2/28/86
	A14	4,928,247	5/22/90	Doyle et al.	364	518	4/20/88
	A15	4,992,954	2/12/91	Takeda et al.	364	518	8/3/88
	A16	5,001,478	3/19/91	Nagy	341	67	12/28/89
	A17	5,016,009	5/14/91	Whiting et al.	341	67	1/13/89
	A18	5,031,089	7/9/91	Liu et al.	364	200	12/30/88
	A19	5,049,881	9/17/91	Gibson et al.	341	95	6/18/90
	A20	5,051,745	9/24/91	Katz	341	51	8/21/90
	A21	5,115,479	5/19/92	Murayama	382	56	9/30/91
	A22	5,119,319	6/2/92	Tanenbaum	364	514	12/14/89
	A23	6,157,944	12/5/00	Pedersen	709	204	5/14/97
	A24	5,126,739	6/30/92	Whiting et al.	341	106	11/27/90
	A25	5,140,321	8/18/92	Jung	341	55	9/4/91



U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A26	5,155,485	10/13/92	Sako et al.	341	95	10/26/90
	A27	5,155,847	10/13/92	Kirouac et al.	395	600	8/3/88
	A28	5,161,015	11/3/92	Citta et al.	358	162	4/1/91
	A29	5,164,727	11/17/92	Zakhor et al.	341	143	4/30/91
	A30	5,175,852	12/29/92	Johnson et al.	395	600	10/4/89
	A31	5,187,790	2/16/93	East et al.	395	725	4/21/92
	A32	5,202,971	4/13/93	Henson et al.	395	425	12/17/90
	A33	5,204,897	4/20/93	Wyman	380	4	7/14/92
	A34	5,241,625	8/31/93	Epard et al.	395	163	11/27/90
	A35	5,247,683	6/19/91	Holmes et al.	395	700	9/21/93
	A36	5,249,290	9/28/93	Heizer	395	650	2/22/91
	A37	5,305,440	4/19/94	Morgan et al.	395	200	6/12/92
	A38	5,315,698	5/24/94	Case et al.	395	162	8/21/91
	A39	5,321,806	6/14/94	Meinerth et al.	395	162	8/21/91
	A40	5,325,527	6/28/94	Cwikowski et al.	395	650	1/19/93
	A41	5,329,619	7/12/94	Page et al.	395	200	10/30/92
	A42	5,367,688	11/22/94	Croll	395	700	4/15/94
	A43	5,384,568	1/24/95	Grinberg et al.	341	51	12/2/93
	A44	5,406,279	4/11/95	Anderson et al.	341	51	9/2/92
	A45	5,440,719	8/8/95	Hanes et al.	395	500	10/27/92
	A46	5,455,576	10/3/95	Clark, II et al.	341	50	2/7/94
	A47	5,457,797	10/10/95	Butterworth et al.	395	650	3/22/95
	A48	5,461,608	10/24/95	Yoshiyama	370	16.1	10/24/95
	A49	5,473,742	12/5/95	Polyakov et al.	395	142	2/22/94
	A50	5,483,466	1/9/96	Kawahara et al.	364	514	11/15/93
	A51	5,485,460	1/16/96	Schrier et al.	370	94.1	8/19/94
	A52	5,515,111	5/7/96	Guedalia	348	427	1/28/94
	A53	5,515,508	5/7/96	Pettus et al.	395	200.01	12/17/93
	A54	5,517,617	5/14/96	Sathaye et al.	395	200.1	6/29/94
	A55	5,521,597	5/28/96	Dimitri	341	51	8/2/93

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U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A56	5,526,492	6/11/96	Ishida	395	200.09	12/23/94
	A57	5,537,548	7/16/96	Fin et al.	395	200.04	6/14/94
	A58	5,537,551	7/16/96	Denenberg et al.	395	200.18	11/18/92
	A59	5,541,927	7/30/96	Kristol et al.	370	94.2	8/24/94
	A60	5,553,242	9/3/96	Russell et al.	395	200.12	11/3/93
	A61	5,557,748	9/17/96	Norris	395	200.10	2/3/95
	A62	5,561,769	10/1/96	Kumar et al.	395	200.5	9/5/95
	A63	5,566,288	10/15/96	Koerhsen	395	142	9/2/94
	A64	5,566,302	10/15/96	Khalidi et al.	395	200.09	7/29/94
	A65	5,572,206	11/5/96	Miller et al.	341	51	7/6/94
	A66	5,572,674	11/5/96	Ernst	395	200.1	10/16/95
	A67	5,583,563	12/10/96	Wanderscheid et al.	348	13	1/12/95
	A68	5,583,992	12/10/96	Kudō	395	200.03	8/8/94
	A69	5,586,312	12/17/96	Johnson et al.	395	610	10/11/94
	A70	5,592,626	1/7/97	Papadimitriou et al.	395	200.09	5/19/94
	A71	5,594,490	1/14/97	Dawson et al.	348	6	5/23/94
	A72	5,606,493	2/25/97	Duscher et al.	364	134	6/18/92
	A73	5,619,716	4/8/97	Nonaka et al.	395	800	6/6/95
	A74	5,644,720	6/1/97	Boll et al.	395	200.12	7/31/95
	A75	5,680,549	10/21/97	Raynak et al.	395	200.12	12/30/94
	A76	5,706,437	1/6/98	Kirchner et al.	395	200.12	12/29/95
	A77	5,710,918	1/20/98	Lagarde et al.	395	610	6/7/95
	A78	5,721,876	2/24/98	Yu et al.	395	500	3/30/95
	A79	5,734,865	3/31/98	Yu	395	500	6/27/95
	A80	5,737,592	4/7/98	Nguyen et al.	395	604	6/19/95
	A81	5,740,171	4/14/98	Mazzola et al.	370	392	3/28/96
	A82	5,748,892	5/5/98	Richardson	395	200.3	3/25/96
	A83	5,754,830	5/19/98	Butts et al.	395	500	4/1/96
	A84	5,758,085	5/26/98	Kouoheris et al.	395	200.61	1/8/97
	A85	5,761,507	6/2/98	Govett	395	684	3/5/96

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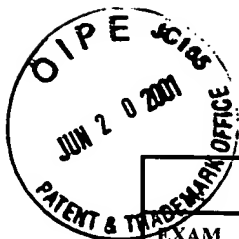
U.S. PATENT DOCUMENTS

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	A86	5,764,908	6/9/98	Shoji et al.	395	200.47	7/12/96
	A87	5,764,915	6/9/98	Heimsoth et al.	395	200.57	3/8/96
	A88	5,771,034	6/23/93	Gibson	345	141	5/5/97
	A89	5,784,070	7/21/98	Furuhashi et al.	345	419	6/3/97
	A90	5,802,258	9/1/98	Chen	395	182.08	3/3/96
	A91	5,802,306	9/1/98	Hunt	395	200.58	10/31/95
	A92	5,812,784	9/22/98	Watson et al.	395	200.57	4/2/97
	A93	5,819,093	10/6/98	Davidson et al.	395	704	3/3/95
	A94	5,826,027	10/20/98	Pedersen et al.	395	200.1	10/11/95
	A95	5,828,840	10/27/98	Cowan et al.	395	200.33	8/6/96
	A96	5,838,910	11/17/98	Domenikos et al.	395	200.33	3/14/96
	A97	5,838,916	11/17/98	Domenikos et al.	395	200.49	3/14/97
	A98	5,870,545	2/9/99	Davis et al.	395	200.31	4/4/97
	A99	5,889,942	3/30/99	Orenshteyn	395	187.01	12/18/96
	A100	5,913,060	6/15/99	Discavage	395	680	10/11/95
	A101	5,918,019	6/29/99	Valencia	395	200.57	7/29/96
	A102	5,923,842	7/13/99	Pedersen et al.	395	188.01	3/6/97
	A103	5,928,324	7/27/99	Sloan	709	203	8/20/97
	A104	5,938,733	8/17/99	Heimsoth	709	230	3/8/96
	A105	5,941,949	8/24/99	Pedersen	708	227	3/14/97
	A106	5,941,988	8/24/99	Bhagwat et al.	713	201	1/27/97
	A107	5,949,975	9/7/99	Batty et al.	395	200.43	3/12/97
	A108	5,951,694	9/14/99	Choquier et al.	714	15	2/3/97
	A109	5,961,586	10/5/99	Pedersen	709	201	5/14/97
	A110	5,999,179	12/7/99	Kekic et al.	345	349	11/17/97
	A111	6,023,721	2/8/00	Cummings	709	201	5/14/97
	A112	6,108,712	8/22/00	Hayes Jr.	709	246	5/5/98

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FOREIGN PATENT DOCUMENTS

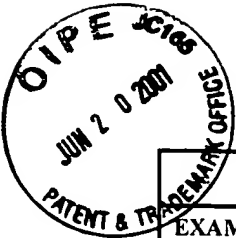
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	B2	0 381 645	8/8/90	EP	15	16	1/15/90	N	Y
	B3	0 384 339	8/29/90	EP	9	46	2/19/90	N	Y
	B4	0 540 151	5/5/93	EP	9	46	9/8/92	N	Y
	B5	0 643 514	3/15/95	EP	12	00	7/28/94	N	Y
	B6	0 732 834	9/18/96	EP	29	06	3/14/96	N	Y
	B7	0 841 615	8/11/96	EP	9	445	9/15/97	N	Y
	B8	0 684 582	11/29/95	EP	15	02	4/1/95	N	Y
	B9	0 682 583	4/4/95	EP	11	00	5/16/94	N	Y
	B10	0 691 628	1/10/96	EP	9	00	7/5/95	N	Y
	B11	0 739 140	10/23/96	EP	7	26	4/17/96	N	Y
	B12	0 734 144	9/25/96	EP	15	00	3/4/96	N	N
	B13	94 03853	2/17/94	WO	3	14	7/22/96	N	Y
	B14	95 20863	8/3/95	WO	7	26	1/20/95	N	Y
	B15	97 18635	5/22/97	WO	29	06	9/20/96	N	Y
	B16	93 15457	8/5/93	WO	9	00	1/21/93	N	Y
	B17	94 14114	6/23/94	WO	9	00	11/29/93	N	Y
	B18	97 28623	8/7/97	WO	9	455	1/15/97	N	Y
	B19	98 52320	11/19/98	WO	12	00	5/14/98	N	Y
	B20	0 414 624	2/27/91	EP	9	46	7/5/90	N	Y
	B21	0 767 563	4/9/97	EP	19	06	9/19/96	N	Y

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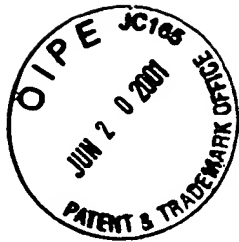
OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C1	"The Norton Utilities Version 5.0 Disk Explorer", Copyright © 1990 Peter Norton Computing, Inc.; (pgs. 28-54); Santa Monica, CA
	C2	"Patents on data compression algorithms"; patents.html@www-iapr-ic.dimi.uniud.it, CITRIX SYSTEMS UK LIMITED, (pgs. 1-10)
	C3	"World Based Data Compression Schemes" by Bar-Ness & Peckham, © 1989 (pgs. 300-303), The Center for Communication and Signal Processing Research Department of Electrical Engineering, NJIT Newark, NJ



OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C4	"A New Source Coding Method Based on LZW Adoptind the Least Recently Used Deletion Heuristic" by Hayashi, Kubo, Yamazoto & Sasase; (pgs. 190-193); May 19, 1993; University of Victoria
	C5	"Creating a Wider Bus Using Caching Techniques" by Citron & Rudolph; Institute of Computer Science, Hebrew University; Jerusalem, Israel; © 1995 IEEE
	C6	"Allocation of Equivalent Communication Buffer Sizes in SQLJRA Remote Protocol" IBM Technical Disclosure; Vol. 36, No. 1, January 1993; Armonk, NY, US
	C7	"Efficient Algorithms for Resource Allocation in Distributed and Parallel Query Processing Environments" by Liu, Kiyoki, & Masuda; Institute of Information Sciences and Electronics Unitversity Tsukuba, Tsukub, Japan; University of Tokyo, Tokyo, Japan
	C8	"Dynamic Host Configuration Protocol" by Droms; Bucknell University, October 1993
	C9	"Terminal Servers on Ethernet Local Area Networks" by Mann, Strutt, & Kempf; Digital Technical Journal, No. 3, Journal 1986
	C10	Windows NT Networking Guide: Microsoft Windows NT Resource Kit, Microsoft Press 1995, pages 79-87.
	C11	"Distributed Coordination Models for Client/Server Computing" by Adler; 8153 Computer; 28(1995) April, No. 4. Los Alamitos, CA, US.
	C12	OS/2 EE Database Manager SQLJRA Remote Protocol", <i>IBM Technical Disclosure Bulletin</i> , Vol. 36 No. 1, pp. 33-36, January 1993.
	C13	Prasad, "Weaving a Thread", <i>Operating Systems CORE TECHNOLOGIES</i> , pp. 173-174, October 1995
	C14	Campbell et al., "Meeting End-to End QoS Challenges for Scalable Flows in Heterogeneous Multimedia Environments", pp. 101-115, November 1995
	C15	"IP Multicast Streamlines Delivery of Multicast Applications", <i>Cisco Systems Inc.</i> , pp. 1-5, March 1995
	C16	"Multicast Routing", <i>Cisco Systems Inc.</i> , pp. 1-4, 1995.
	C17	Adler, "Distributed Coordination Models for Client/Server Computing", <i>Computer Magazine</i> , April, 1995, pages 14-22
	C18	"Remote Desktop Environments Reflected in Local Desktop Windows" Delphion; IBM Technical Disclosure Bulletin; March 1993; (pgs 421-426)
	C19	Murray, et al., "1.5 Move-to-Front Coding", (pgs. 16-19), 1994
EXAMINER		DATE CONSIDERED

ABRAMSAF\1545\45.2108799_1



PATENT
Attorney Docket No. CTX-024

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Collins
SERIAL NO.: 09/762,917 GROUP NO.: 2155
FILING DATE: February 13, 2001 EXAMINER: Not Yet Assigned
TITLE: Apparatus and Method for Extracting Algorithmic Information from a Message Stream

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on this 15th day of June, 2001.


Julie Cipullo

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith are:

- 1) Transmittal Form (1 page);
- 2) Information Disclosure Statement (2 pages);
- 3) Form PTO-1449 (6 pages);
- 4) Copy of References A1-A112, B1-B21, C1-C19;
- 5) and a return receipt postcard.

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